# AN INTERAGENCY EFFORT TO STRENGTHEN AND ENHANCE THE COLLABORATIVE RELATIONSHIP OF THE AGRICULTURAL RESEARCH SERVICE (ARS) AND THE COOPERATIVE STATE RESEARCH, EDUCATION, AND EXTENSION SERVICE (CSREES)

### A CSREES / ARS IPA Project Assignment

### Presented to

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And

Dr. Edward Knipling, Administrator Agricultural Research Service United States Department of Agriculture

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In partial fulfillment for an IPA Assignment Funded jointly by CSREES and ARS

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An IPA Project Assignment

### **CONTENTS**

- I. Preface
- II. Acknowledgement
- III. Project Description
- IV. Appointment of Collaboration Assessment and Enhancement Team (CAET)
- V. Final CAET Recommendations
- VI. Next Steps
- VII. Summary

### Appendices:

- A. Listing of Final CAET members and contact information
- B. Agenda for Internal CAET meeting (April 7, 2004)
- C. Agenda for Comprehensive CAET meeting (April 8-9, 2004)
- D. Initial CAET recommendations
- E. Power Point Summary Presentation of Final CAET Recommendations

### **PREFACE**

In accordance with the Intergovernmental Personnel Act (IPA) regulations, individuals who participate in the program are expected to perform certain specific duties designed to render services to another governmental agency to which they are assigned or to garner professional development experiences resulting from such a temporary duty station or both. Such is the case with my IPA assignment.

My negotiated IPA assignment was initiated out of a need for me to learn more about the development of the Federal budget process and to experience first hand how the two agencies dealt with research evaluation and accountability. On the other hand, the two agencies with which I am assigned were interested in identifying ways to strengthen and enhance the collaboration between their two organizations. Our collective goal was for me to carry out an IPA project assignment that enhanced my professional growth and development and at the same time assisted these two agencies in assessing their collaboration portfolio and identifying ways that this relationship could be significantly enhanced. Specifically, the two Agency Administrators were straight forward in requesting recommendations that were both meaningful and achievable.

While the budgetary and evaluation components of my IPA assignment are ongoing, and, as such, will be reported elsewhere, this report will focus primarily on the assessment of collaboration and enhancement potential between the United States Department of Agriculture (USDA) -Agricultural Research Service (ARS) and the Cooperative State Research, Education, and Extension Service (CSREES). To achieve this goal and implement this aspect of the IPA project assignment, I assembled a team of experts from within USDA as well as from within the land-grant system. The team was appropriately named the Collaboration Assessment and Enhancement Team or CAET. The following pages will highlight in more detail the initial project description, appointment of CAET members, CAET Recommendations, the proposed next steps to be taken and finally, a summary of the overall IPA assignment.

Additionally, a copy of the Power-Point presentation highlighting the CAET recommendations is provided for further clarification of specific recommendations. It is hoped that this report will be used by the two Agency Administrators to impress upon their agency staff the importance of and value in mutual collaboration. Further, it is strongly recommended that annual collaboration accountability measures be instituted at all management levels across both agencies and that progress be discussed annually.

### **ACKNOWLEDGEMENTS**

I would be remiss if I did not knowledge and give special thanks to the many individuals who gave of themselves to help make this IPA project a great success. Their seemingly untiring willingness to go beyond the call of duty to provide assistance and often counsel is duly noted and most appreciated. Undoubtedly, I am sure to leave someone out, in which case, I say up front, please charge it to my head and not my heart for I am truly grateful to all who have helped me throughout this IPA Project assignment.

First of all, I give thanks to Drs. Colien Hefferan and Edward B. Knipling for affording me the opportunity to carryout my sabbatical leave from Florida A&M University as a joint IPA assignment with their agencies. I am told that this is the first time in the history of USDA that a jointly funded IPA assignment has been undertaken which speaks to the foresightedness of these two administrators. I am equally thankful to them for having both the vision and the courage to allow me to tackle such a sensitive yet timely topic.

In particular, I wish to thank the CAET members for their receptiveness to join such a team without knowing me or the purpose of my IPA assignment. Nevertheless, we all believed that if we could come together on a common accord to be proactive in our desire to identify areas of opportunity for enhanced interagency collaboration, these two agencies and indeed the clientele they serve would be significantly enhanced through a more efficient delivery of goods and services. The recommendations we set forth speaks clearly to the accomplishment of our stated goals and for this, I say thanks to all of you for a job well done.

I would also like to thank the two agencies clerical and other support staff for their assistance throughout the course of this project in providing everything from coping to proofreading. Of course, special thanks is given to Ms. Charlene Brown who kept me on task and made sure that things got out to the CAET group during my absences and for making sure that the meetings and conference calls went smoothly. She was truly a valuable asset throughout this project and I am eternally grateful.

Last, but certainly not least, I would like to give thanks to Mrs. Marva Nesbit, the meeting facilitator who was truly more than just another facilitator, but a friend as well. Her insight and professional skills at guiding our meetings was superb, and I don't think that we could have achieved as much as we did in such a short period of time had it not been for her skillful handling of the meeting. Her knowledge of both agencies and of the Federal Government in general was invaluable so much so that she as was added to the team as a member, beyond her role of facilitator.

Finally, I would like to thank Florida A&M University for giving me an opportunity to add valuable and depth to my professional experience by allowing me to pursue my sabbatical leave with USDA. The knowledge I gained as a direct result of this IPA will be immensely value in my future professional endeavors. I also would like to take this opportunity to thank my colleagues within the 1890 community who encouraged me to remain steadfast in my quest to identify collaborative opportunities for strengthening the land-grant partnership. Thanks to all for your guidance and support and I encourage you to seek similar opportunities.

### PROJECT DESCRIPTION

An Interagency Effort to Strengthen and Enhance the Collaborative Relationship of the Agricultural Research Service (ARS) and the Cooperative State Research, Education, and Extension Service (CSREES)

#### Introduction

Excellence in education and research are the moving forces behind America's industrial and technological supremacy. Thus, the resources of both ARS's and CSREES programs have played and continue to play a major role in advancing science and scientific knowledge to help sustain the U.S. agricultural sector using its own resources and those of eligible partner institutions and organizations. For example, ARS's research, in collaboration with its landgrant and other university partners, continues to play a vital role in finding new and better ways to create new knowledge on how to produce and distribute food and fiber to an ever expanding world population. Likewise, CSREES and its land-grant partners drive the research, education, and outreach components of an external system which complements the mission-focused research of the Agricultural Research Service.

The interrelated and complementary programs of ARS and CSREES challenge each agency to be more visionary and forward thinking in effectively utilizing limited public resources through effective collaborative partnerships. Therefore, it is imperative for these two agencies to look at efficiencies of cooperative efforts and strategies to engage the resources of a Federal-State partnership that involves the land-grant colleges and universities, as well as other non-land-grant universities, Federal and State agency partners and customers. The benefits of these efforts will be logical strategies to meet the needs and interests of their collective stakeholders, customers, and clientele in an increasingly complex and competitive global marketplace.

### The Charge

In an effort to address the above issues, the Administrators for ARS and CSREES set forth as a primary IPA project objective the development of a mechanism to identify and evaluate proactive ways that ARS and CSREES could use within and across its various programs to enhance collaborative relationships that benefit agricultural research, education, and outreach to better meet the needs of customers, stakeholders, individuals, and other clientele groups. They further indicated that this IPA project should concurrently look at OMB's requirements for the "Program Assessment Rating Tool" (PART), which is an annual agency self evaluation, and see how the CAET could be used to address some of the issues raised in "PART," and as such, make recommendations to the agencies as to how they could strengthen the depth and breadth of what they do in terms of measurable impacts.

### The Strategy

In response to the Administrators' request, I established a nationwide panel composed of both subject matter and administrative experts who have a strong working knowledge of one or both agencies. This national panel was extremely valuable in assisting me in working through some issues critical to enhanced collaboration between the two agencies. The panel was also asked to respond to some specific issues that the two agencies have been grappling within respect to perception of narrowness of research portfolios, internal competitiveness, program duplication,

and how the agencies could reposition themselves to respond to critical issues impacting their clientele and customers both within USDA and externally. The PART analysis as developed by OMB to evaluate Federal agencies in terms of their ability to address the President's strategic goals and objectives continuously weighs on the operational pathways taken up by the agencies. Thus, the CAET was asked to take a close look at the PART issues scheduled for review and evaluation in 2004 and recommend best approaches to respond to these issues.

The panel was given the name "Collaboration Assessment and Enhancement Team" and bears the acronym "CAET." The CAET constitutes a forum to discuss specific issues facing these two agencies and set forth specific action based recommendations for enhanced collaboration. The CAET discussed some of the **perceptions** or **misperceptions** about the two organizations' working relationship and explored common opportunities and constraints to expand and enhance collaboration and cooperation across agencies and with key partners, primarily those in the land-grant system and sister agencies who assist and draw from the services provided separately and collectively by ARS and CSREES. The CAET also explored the best or most feasible manner in which to collect and evaluate data on annual agency collaboration and identified ways to strengthen and enhance this collaborative relationship between the two agencies annually.

In preparation for the CAET group meeting, the following issues were set forth by the Agency Administrators to jump-start the creative process so that CAET members could come to the meeting geared up and fully prepared to take an active part in the discussions. The results of this advanced preparation were the development of some well thought out and achievable recommendations for the agencies to consider for immediate implementation. CAET members also were encouraged to bring additional issues which they felt would help strengthen the manner in which we addressed the overall charge.

- Issue I. In 2003, the National Academy of Sciences published the results of a study of the USDA Agricultural Research Service and the report resulting from this study indicated that there is, in part, a perception that ARS is more focused on production oriented agricultural research than that which deals with food safety, nutrition, and the environment. While ARS believe this not to be the case, it would be helpful to have the CAET group discuss ARS's methodologies for selecting research issues and project activities and give us its thoughts on how best to dispel this perception. If this is, in fact, a real perception by the general public, what recommendations can CAET make to ARS and CSREES to work together to dispel or correct this perception?
- Issue II. Likewise, it is generally felt that ARS and CSREES are very competitive in their efforts to secure Federal dollars for their various programs. The fact of the matter is that they have very different functions, and as such, are really more complimentary than competitive. Thus, the question to the CAET is how can the two agencies work to dispel this notion of undue internal competition? What can be done to demonstrate or develop a stronger working relationship as it relates to the budget development process and the addressing of issues critical to the missions of the two agencies and the clientele they serve? The Team's thoughts on these matters would be very helpful to both organizations as they attempt to respond to increasingly more complex issues relating to food security and a healthy and safe environment.

- Issue III. The Office of Management and Budget (OMB), in its quest to make Federal Government more fiscally responsible to the taxpayers, has developed an internal annual self evaluation instrument called "Program Assessment Rating Tool" or PART. OMB requires each Federal agency to submit a PART analysis each year. PART is a self evaluation instrument used to illustrate how effective each Federal agency is in addressing its successes and impacts in relation to the Department's and President's overall goals and objectives. To this end, this year both CSREES and ARS have been asked to address Goal I of the Department's strategic plan which is "Enhance Economic Opportunities for Agricultural Producers." Within this goal, the focus areas are product quality / value added, livestock production, and crop production. How can the two agencies work together to address these three objectives under this goal?
- Issue IV. Given ARS's mission as an internal research agency and CSREES' mission to administer formula, competitive, and special funding to universities and relevant agency scientists, what recommendations can CAET offer to help the two agencies more effectively address clientele needs with a minimum amount of duplication?

Time permitting; some other important issues that the Administrators felt could be very helpful to them were:

- 1. How can the two agencies collaborate more on matters of commonalities while better understanding their differences?
- 2. OMB continually requests proof of impacts resulting from Federal dollars spent. Is there an opportunity for the agencies to measure research impacts together? If so, how is this best done?
- 3. Is there merit for having a common program structure? If so, how do you see this evolving?
- 4. The other agencies within USDA often need research issues addressed in order for them to carry out their mission or function more effectively. What collaborative mechanisms would CAET recommend for the two agencies to use in providing greater assistance to their partner agencies?
- 5. What other recommendations would CAET make for the two agencies to enhance their collaborative partnership?
- 6. How does CAET feel about the agencies periodically bringing in stakeholder groups such as this CAET to assist in thinking through complex issues and arriving at some logical solutions that are realistic and achievable over a reasonable length of time?

### The Plan of Action:

A. Identify and select a diverse group of individuals that are willing to serve on the "Collaboration Assessment and Enhancement Team (CAET). CAET will formalize collaboration questions, methodologies and evaluation strategies, and identify a broad cross section of agency and partner members to participate on the project team.

### B. Selection of Initial Collaboration Assessment and Enhancement Team Members

- 1. Bobby R. Phills, ARS/CSREES/OA, Chair (\*DC)
- 2. Sharon Drumm, Social Scientist/Survey Development/ARS (\*DC)
- 3. Eldon Ortman, Former Dean/ Animal Scientist/IPA/CSREES (\*DC)
- 4. Helene Dillard, Extension Adm/Cornell University
- 5. A. J. Dye, Res/Ext/CSREES (\*DC)
- 6. Samuel Donald, Res/1890 Programs/UMES/ARD
- 7. Sheryl Kunickis, Soils/Environment/NRCS (\*DC)
- 8. Michael Tate, Extension Adm. / Washington State University
- 9. James Heird, Associate Dean/Land-grant Adm/ Colorado State University
- 10. P. S. Benepal, Land-grant Diversity Programs/Res/CSREES (\*DC)
- 11. Carolyn Brooks, Dean/Land-grant Adm. /UMES
- 12. Gladys Shelton, Nutrition/Food Science/NC A&T State University
- 13. Pat Jensen, Extension Adm. /North Dakota State University
- 14. Harold R. Benson, Ext. /Res. Adm. /Kentucky State University
- 15. Margaret Bogle, Nutrition Program Leader/ARS
- 16. Dennis Kopp, Plant Scientist, CSREES National Program Staff (\*DC)
- 17. Raymond E. Gomez, Extensionist/Small Farms Specialist/New Mexico State University
- 18. Marsha Azure, Human Nutritionist, Turtle Mountain Community College (1994 Tribal College)
- 19. Kevin Shea, APHIS (\*DC)
- 20. Gladys Vaugh, Human Nutrition, CSREES (\*DC)
- 21. Ronald C. Wimberley, Rural Sociology, North Carolina State Univ.
- 22. Lynda Kelly, Research and Technology Transfer, FSIS

### C. Selection of Statistical Design Subcommittee

- 1. Shanthy Bowman, Statistical Methods Design/ARS (\*Beltsville, MD)
- 2. Cheryl Oros, Statistical Methods/CSREES (\*DC)
- 3. Kathy Ott, Survey Methodologist, NASS (\*DC)
- 4. Sharon Drumm, ARS Survey Design Specialist (\*DC)
- 5. Henry Bahn, CSREES Statistical Methodologist, (\*DC)

### D. Potential Benefits, Outcomes and Impacts of IPA Project

1. **Potential benefits:** The potential benefits of this study are enormous for ARS and CSREES as well as their partners, collaborators, stakeholders, and clientele. Both agencies are already very strong and are nationally recognized for their work with clientele groups in assuring the nation, and indeed, the world that we will maintain an abundant supply of nutritious, safe, and affordable food to sustain the Nation's industrialized society as we know it today and for the foreseeable future. Yet these agencies, like others, are destined for mediocrity if they fail to undergo **self assessment** and close any loopholes and other barriers impacting their future growth and development. **This is the primary focus and rationale behind this IPA project.** 

- 2. **Expected outcomes:** The success of this project will be seen in the development of a much stronger collaborative working relationship within and between ARS and CSREES across all fronts. A better understanding of who are partners, and who are customers, and how do or should they differ, if at all, will be a very valuable expected outcome of this IPA project.
- 3. **Impact**: The impact of this study will be measured in terms of improved communications; better understanding of the internal and external workings of each agency, their respective programs, delivery mechanisms, policies and authorities; and enhanced knowledge of rules of operation of the agencies as they relate to stakeholder and clientele groups served by both agencies.

### E. METHODS OF COMMUNICATING

- 1. Conference calls were held as needed.
- 2. Two Face-to-face meetings were held, both in \*Washington, DC. First meeting was held April 7-9, 2004 and the second one was held on June 21, 2004. A professional facilitator was hired to facilitate both meetings.
- 3. A "CAET" e-mail listsery was established for ease of communications.

### F. SUPPLEMENTAL MATERIALS PROVIDED

- 1 ARS Mission Statement & Strategic Plan
- 2. CSREES Mission Statement & Strategic Plan
- 3. USDA Mission Statement & Strategic Plan
- 4. Partnership agreements with agencies, universities, and other stakeholders

### G. FACILITATOR FOR GROUP MEETINGS

1. Marva Nesbit, nationally recognized facilitator was employed for both meetings.

(\***DC**) = Working in the District of Columbia or Greater Metropolitan Area.

### APPOINTMENT OF THE COLLABORATION ASSESSMENT AND ENHANCE TEAM

The Collaboration Assessment and Enhancement Team, henceforth referred to as the CAET, was truly one of the most remarkable groups of people that I have ever assembled to work on a special project. If I hired an architect to design a diverse, comprehensive team of people to work on such a complex project, s/he could not have designed a better team. Many people, including the team members themselves, asked how I came up with the list of people for the team and my patented response always was "very carefully" and with a lot of thought and a number of recommendations from others. While all of this is true, I think that the personal interest that each member had in the topic led them to want to participate in a meaningful way. This, coupled with one of the most delightful facilitators, Marva Nesbit, made it very pleasant for everyone to work at ease throughout the two meetings. They were able to raise issues and discuss them openly. It was obvious that they all had respect for each other and the different

prospective that each brought to the table. It was a very productive and delightful team to work with throughout their deliberations.

In thinking back to the very beginning of the project, it was very clear to me in selecting this particular topic as a project to undertake as a major component of my sabbatical leave from Florida A&M University that I did not want to just simply interview people and use their interviews as the basis for making recommendations to the ARS and CSREES Administrators on enhancing interagency collaboration.

In my opinion, such recommendations could have been very one-sided and no matter how good they may have been, they would have lacked depth and thus credibility. I sought the collective wisdom of people who had a vested interest in enhancing the collaborative working relationship between ARS and CSREES and had no problem in articulating their views to others who may have differing points of view on this subject.

As I went about the business of identifying potential members for the team, I initially had wanted to include external stakeholders, but as fate would have it, Government regulations under the Federal Advisory Committee Act (FACA) prevented me from including persons external to Federal Government. Just when I thought that I had lost all hope of selecting a national renowned broad-based team, someone informed me that CSREES had an exemption to this policy provided that your external selection was restricted to members of the land-grant system. Though still somewhat restrictive, this exemption did enable me to select persons from the land-grant system and from other USDA agencies collectively allowing me to select a rather comprehensive CAET.

The team composition was very broad-based consisting of 30 prospective members of whom 13 represented land-grant universities, five from ARS, 7 from CSREES, and five from sister agencies (NRCS, APHIS, FSIS, NASS, and AMS). Because of difficulty with members being able to adjust their schedules, the original list had to be revised several times by adding and eliminating some of the original prospective team members. The final list consisted of 27 members with 7 representing land-grants, 6 from ARS, and 7 from CSREES and 7 from other agencies. This was a very dynamic group who worked very well together and I believe the recommendations will serve useful for years to come. We are indeed grateful and owe them thanks for a job well done. In fact, they were so committed to their work that they bore their own expenses (with the exception of two)--not once, but twice to the nation's capitol.

The work of the CAET provided a meaningful and useful set of recommendations which can further the working relationships between CSREES, ARS, and their partner organizations for the future.

### COLLABORATION ASSESSMENT AND ENHANCEMENT TEAM (CAET)

### FINAL RECOMMENDATIONS

The CAET members felt so strongly about the importance of their charge to identify interagency collaborative measures that could be taken to enhance and strengthen collaboration that they decided to put their feelings into words as a preference to their overall recommendations. They captured and recorded their views on collaboration in

terms of what they termed their "Statement of Values." While these value statements are not necessarily listed in priority order, they do follow a systematic order of relationships. Their Statement of Values is as follows:

### CAET STATEMENT OF VALUES

#### • We Value:

- 1. Developing and enhancing collaboration between ARS and CSREES in order to strengthen the quality of research, education, and extension.
- 2. The creativity, initiative, and dedication of key individuals to make collaborative endeavors a success.
- 3. The power that results from drawing upon diverse experiences, ideas, and cultures.
- 4. Integrity and equity in program delivery.
- 5. Portraying accomplishments and programs in a balanced and accurate format.
- 6. The timely development and delivery of information and technology that supports customer and stakeholder needs.
- 7. Relevance and efficiency in resource utilization.
- 8. Open and inclusive communication.
- 9. Requiring accountability for individual and institutional collaboration.
- 10. Recognizing and rewarding individuals for developing and contributing to interagency collaboration.

Following the initial face-to-face general meeting where a number of recommendations were drafted around four broad groupings, it was decided to divide the CAET group into four smaller sub-groups or committees to focus on the broader recommendations within each broad category and bring forth two to three doable action item recommendations. The CAET sub-committees were as follows: (1) Joint Planning and Program Development, (2) Human Capital Development, (3) Collaboration, and (4) Accountability. A chair was appointed to each subcommittee and charged with reviewing the initial recommendations and developing from them a set of two-to-three action item recommendations for discussion before the full CAET group during our second face-to-face group meeting here in Washington, DC. The second meeting was held on June 21, 2004, to finalize the recommendations and present to the two Agency Administrators. The final recommendations by subcommittees are presented below:

# RECOMMENDATIONS FROM THE SUBCOMMITTEE ON JOINT PLANNING AND PROGRAM DEVELOPMENT

Patricia Jensen, Chair

• RECOMMENDED ACTION ITEM # 1. ARS/CSREES commit to a co-funded IPA position on a continuing basis for the purpose of exploring opportunities for ARS and CSREES direct collaboration, and for implementing and following through on the ideas and initiatives proposed in these CAET recommendations.

- RECOMMENDED ACTION ITEM # 2. Develop a unified CSREES/ARS approach to the stakeholder community for the purpose of formulating "very specific issue based" initiatives where the two agencies could join their unique scientific and technical expertise to address and solve critical problem issues.
- RECOMMENDED ACTION ITEM # 3. Take one or two current/potential "issue based" initiatives (to be identified with the stakeholder group) to jointly plan, budget, and implement. These initiatives would be developed and submitted up through the normal budgetary channels as a single unified initiative for joint collaborative implementation.

# RECOMMENDATIONS FROM THE SUBCOMMITTEE ON

### **HUMAN CAPITAL DEVELOPMENT**

Gladys Shelton, Chair

- RECOMMENDED ACTION ITEM # 1. Establish an Interagency Assessment Committee to identify barriers and propose opportunities to share human capital resources across agencies and institutions.
- RECOMMENDED ACTION ITEM # 2. (A) Investigate the potential for creating and maintaining a database of expertise in both agencies and universities along disciplinary lines, and (B) Enhance ARS and CSREES websites to include information on the landgrant system and crosslink to all relevant websites.
- RECOMMENDED ACTION ITEM # 3. Review recruitment and employment programs and materials of both CSREES and ARS with the intent to better describe the nature of the position.
- RECOMMENDED ACTION ITEM # 4. Using current IPA policies and guidelines: (A) Establish a continuing IPA position to serve as a Collaborative Liaison between the two agencies in expanding and utilizing human capital expertise as well as other collaborative opportunities; (B) Establish positions for use in promoting bi-directional annual faculty/staff/agency IPA exchanges; and (C) Study the feasibility of promoting short-term faculty/staff/agency exchanges for addressing imminent and prominent issues and needs.

# RECOMMENDATIONS FROM THE SUBCOMMITTEE ON COLLABORATION

Sheryl Kunickis, Chair

- RECOMMENDED ACTION ITEM # 1. ARS and CSREES Administrators develop and publish joint statements of their Agency's commitment to collaboration as a means of facilitating enhanced understanding, collaboration, and cooperation.
- RECOMMENDED ACTION ITEM # 2. Form a joint agency study group to: (a) review and identify policies and procedures that may impede or serve as potential barriers to enhanced collaboration, and (b) identify approaches to minimize barriers

RECOMMENDATIONS
FROM THE
SUBCOMMITTEE
ON
ACCOUNTABILITY
James Heird, Chair

- RECOMMENDED ACTION ITEM # 1. Determine the amount of collaboration that presently exists between ARS and CSREES.
- RECOMMENDED ACTION ITEM # 2. Using the data from recommendation # 1, benchmark at regular intervals to determine progress toward greater collaboration.
- RECOMMENDED ACTION ITEM # 3. Collaboration should be a part of annual reports of: ARS/CSREES NPLs, ARS Area Offices and Centers, State Agricultural Experiment Stations, and State Cooperative Extension Programs.
- RECOMMENDED ACTION ITEM # 4. ARS and CSREES leadership should ensure that collaboration between the two agencies be a consideration in the overall evaluation of ARS and CSREES personnel and programs.

### **NEXT STEPS**

The CAET recommendations are very straight forward and quite doable as requested by the Agency Administrators. It is therefore proposed that the next steps to be followed in the project are to develop a process of implementation of the CAET recommendations. To begin this process, it is recommended that the ARS and CSREES Administrators pen a **joint letter** emphasizing their position on the need and value of enhanced interagency collaboration and the role that they expect the agency leadership to play in embracing interagency collaboration and raising it to a higher level throughout their respective agencies.

Using this joint interagency administrative letter articulating the importance of interagency collaboration, a series of meetings will be held initially within each agency at the Deputy Administrators' level and then jointly with the two agency groups along with the Associate and Assistant Administrators of each agency. The primary purpose of these meetings will be to go over the CAET recommendations and clarify any unclear area that may exist in the recommendations report. Concurrently, we will discuss ways and possible obstacles to full adoption and implementation of the CAET recommendations. The implementation timeframe for some of the more complex recommendations will be discussed during this joint meeting of Deputy and Associate Administrators and proposed strategies for implementation will be discussed and a plan of action developed.

Following these interagency group discussions at the Deputy and Associate Administrators' level, similar meetings will be held with the agencies' partners, collaborators and customers inclusive of the land-grant community. The idea here is to inform all relevant groups of the importance of and increased emphasis being placed on interagency collaboration and its importance to the overall mission, goals, and objectives of these two agencies in being better able to serve and meet clientele needs.

In addition to holding a series of stakeholder meetings, it is also recommended that one or more specific recommendations be identified which require additional planning to work out the details as an integral component or strategy for implementation. Chief among these is the recommendation dealing with the joint development and submission of an "issue-based" budget and the following or tracking of this issue-based budget through its normal funding cycle or deliberation process. In order to implement such a recommendation, issue-based topics must be identified and developed in consultation with stakeholder groups along with a proposed funding request level. This recommendation is therefore viewed as a long-term venture; however, discussions and planning must begin immediately if it is to be considered for the FY-06 or -07 budget funding cycle. Although this recommendation is by far the most complex and difficult, its long-term implications and potential impact on issues of national importance and significant is far greater than any of the other recommendations and therefore should be give a very high priority.

Given the relative importance of this recommendation, it would be ideally suited for the next IPA collaboration assignment and, as such, would fulfill another of the proposed CAET recommendations, i.e., the continuation of the joint IPA appointment.

### **SUMMARY**

In summary, this IPA assignment has proven to be invaluable to my personal professional growth and development far beyond my wildest expectations. It is one thing to look at an agency from the outside as I have over the past 26 years and feel that you understand their organization and networking, but to work on the inside and learn firsthand how the organization impacts the overall system-wide land-grant mission is a plus for any outsider. The partnerships that exists between USDA, at least with respect to ARS and CSREES and its land-grant partners, is very strong and will undoubtedly be stronger as a result of the project that I was given for my IPA assignment. I feel that the rewards have been mutually beneficial and enriching. I would therefore strongly recommend this experience to anyone outside of Federal Government, especially persons within the 1890 land-grant community,

who generally do not pursue and take advantage of such IPA opportunities. Conversely, I would also strongly recommend and encourage persons within the Federal Government to take advantage of the reverse IPA opportunities and spend 6 months to 2 years on a landgrant campus learning and sharing professional experiences. The benefits in both directions could be enormous.

From an interagency perspective, it is felt that this project, thought the first of its kind (jointly supported), has and will continue to have a significant positive impact on these two agencies as well as other agencies and land-grant partners that worked to help make this project a success. If nothing else, this initiative has truly raised the level of consciousness within and across agencies and land-grant institutions about the need to strengthen and enhance collaboration among all entities. As these two agencies go about the business of implementing the proposed recommendations, it is hoped that other agencies and mission areas within the Department of Agriculture as well as universities and other stakeholders will begin to take a more serious look at how they value collaboration and how it is instilled in people throughout the organization. If collaboration could be elevated to this level of consciousness, the taxpayers and organizations would have all benefited from monies well spent in implementing this project.

I would like to thank both Drs. Colien Hefferan and Edward Knipling for the collective vision they had in seeing the need and value of such a project and for giving me the opportunity to undertake it. Its success, however, will be realized in the manner and rapidity in which these proposed recommendations are implemented. I am just grateful that I had an opportunity to help develop them.

### **APPENDIX A**

### **Collaboration Assessment & Enhancement Team (CAET) Members**

	NAMES	AGENCY	E-MAIL	PHONE/ FAX	ADDRESS
1	Henry Bahn	CSREES	hbahn@csrees.usda.gov	202-720-5623 202-720-7714	Waterfront Centre Rm. 1329 800 9 <sup>th</sup> Street, SW Washington, DC 20024
2	P. S. Benepal	CSREES/ SERD	pbenepal@csrees.usda.go <u>v</u>	202/720-4570 202/7203945	3252 Waterfront Washington, DC
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REVISED 8-9-04

### **APPENDIX B**

### Internal Agency Group - Discussion Summary Apríl 7, 2004

An internal agency group was convened on Wednesday, April 7, to discuss the upcoming CAET meeting. The group was asked to review the agenda for the CAET meeting and to reflect on the charge to the CAET. The group was also asked for their insight and input into the charge: strengthening and enhancing the collaborative relationship between ARS and CSREES and their partners.

Participants in the session included: Henry Bahn, CSREES; Shanthy Bowman, ARS; Gary Cunningham, CSREES; A.J. Dye, CSREES; Ralph Otto, CSREES; Hank Parker, ARS; Caird Rexroad, ARS; Dave Rust, ARS; Bobby Phills (convener); Marva Nesbit (facilitator).

The issues raised by the internal agency group follow.

- Relationship between senior leadership (ARS, CSREES)
- How do we define "collaboration" between CSREES and ARS?
- Budget issues:
  - \* cooperation
  - \* competition
  - \* development
  - \* complement
- Role of communication
- Crisis management as a collaboration model
- Collaboration as a stated organizational value
- Collaborative planning on national research priorities
- Joint planning
- Joint university and ARS site visits

### Scale & Depth

v. → one participant's characterization of the difference between ARS & CSREES Scope & Breadth

The issues identified by the internal agency group were summarized and shared with the CAET at the opening of their session on April 8, 2004.

### APPENDIX C

### \*\*\*

# Enhancing Collaborative Relations Between the Agricultural Research Service and the Cooperative State Research, Education, and Extension Service:

A Special Session to Explore Options April 8 & 9, 2004 Washington, DC

### **Goals for the Session:**

- To explore options for enhancing collaborative relations between the Agricultural Research Service (ARS) and the Cooperative State Research, Education, and Extension Service (CSREES)
- ☆ To explore options for meeting customer/stakeholder/client needs
- ☆ To discuss next steps in the evaluation process

### **Thursday, April 8**

Break

Room 107A Jamie L. Whitten Federal Building 14<sup>th</sup> & Independence Ave., S.W.

8:00 am	Opening and Welcome	B. Phills
	Greetings and Charge to the Team	E. Knipling G. Cunningham
	Background and Introduction of Facilitator	B. Phills
Break	Introductions and Expectations for the Session	All
2.00	Round Table Discussion: ARS and CSREES Collaboration and Cooperation – SoHow Are We Doing?	All
Lunch	Summary of the Issues Identified	All
	Break-out Groups	
	What Issues Should We Focus on as a Means to	

Reports from the Break-out Groups

Enhance Cooperative and Collaborative Relations?

Synthesis from the Break-out Groups

Tomorrow...

Adjourn/Dinner on Your Own

### Friday, April 9

3109 South Building

14<sup>th</sup> and Independence Ave., S.W.

8:30 am Welcome

Review of Yesterday's Accomplishments

Round Table Discussion: Where Do We All

Go From Here?

**Break-out Groups** 

Identify Action Strategies to Enhance Cooperation and Collaboration Between CSREES, ARS,

and/or Their Partners

Break

Reports from the Break-out Groups

Synthesis of the Reports and Identification of

Short Term and Long Term Action Strategies

Review of Expectations for the Session

Next Steps...Where Do We Go From Here?

B. Phills

Lunch (if necessary)

The meeting is expected to conclude around 2:00 p.m.

Adjourn/Safe Journey Home

Breaks and lunch will occur at logical stopping points. Please be prompt in returning from breaks and lunch to resume work. Feel free to move around the room for your comfort. I am not easily distracted and I want you to be comfortable--just don't disturb others. **PLEASE TURN OFF YOUR CELL PHONES** and commit to the process. We value your input and appreciate your participation!!



### APPENDIX D

### **Initial CAET Recommendations**

**Enhancing Collaborative Relations Between the Agricultural Research Service and the Cooperative State Research, Education, and Extension Service** 

**A Special Session to Explore Options** 

April 7, 8 & 9, 2004 Washington, DC

**Collaboration Assessment And Enhancement Team (CAET) Recommendations** 

### **PREAMBLE**

### **CAET Statement of Values**

### We value:

- 1. Developing, enhancing, and rewarding collaboration between ARS and CSREES in order to strengthen the quality of research, education, and extension
- 2. The power that results from drawing upon diverse experiences, ideas, and cultures
- 3. The positive results that come from portraying accomplishments in a balanced and accurate format
- 4. Holding individuals and groups accountable
- 5. The timely development and delivery of new information and technology that supports customer and stakeholder needs
- 6. Relevance and efficiency in resource utilization
- 7. Integrity and equity in program delivery
- 8. Open and inclusive communications

### RECOMMENDATIONS

### I. JOINT PLANNING AND PROGRAM DEVELOPMENT

- A. Issue based planning
- B. Collaboration should be based on the issue
- C. Unified stakeholder engagement (collective listening)
- D. Regular, appropriate joint communication with customers & stakeholders
- E. Appoint an *ad hoc* committee to explore opportunities for creating partner engagement
- F. Joint financial investment in collaboration

### II. HUMAN CAPITAL

- A. Staff/faculty exchange
- B. Review and enhance existing programs to increase the pipeline/consider new programs/identify and eliminate pipeline barriers
- C. Building an understanding of relevant organizations and agencies through orientation programs
  - 1. ARS & CSREES websites including information on the land grant system and should be cross linked
  - 2. Create new and explore existing "real Life" opportunities
- D. Review nomenclature used in recruitment process
- E. Enhance flexibility for employment relevant scientific and technical expertise Build awareness of available capacity at 1890, HSI, 1994 institutions (ex: database development)
- F. Value institutional differences and create opportunities for engagement

### III. COLLABORATION

- A. Integrate collaboration into the appropriate performance element
- B. Facilitate bi-directional personnel exchange
- C. Ensure that current agency mechanisms (ex: RFA, RPES) do not impede the collaborative process
- D. Develop data base of experts to facilitate collaboration and identify a reference point to maintain
- E. Joint statement of commitment to collaboration supported by resources
- F. Disseminate information on available opportunities for collaboration
- G. Develop collaborative opportunity web page
- H Review justification for maintaining barriers to physical access and use of facilities and equipment

#### IV. ACCOUNTABILITY

- A. Leadership assures appropriate accountability across all issues through oversight and evaluation
- B. Hiring decisions need to support the client base
- C. Ability for timely deliverables

### APPENDIX E

**Power Point Summary Presentation** 

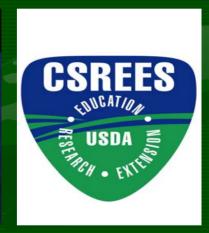
of

**Final CAET Recommendations** 

# Enhancing Collaborative Relations Between ARS and CSREES







COLLABORATION ASSESSMENT AND ENHANCEMENT TEAM (CAET) RECOMMENDATIONS

# MATRIX MANAGEMENT SYSTEM

### Working Definition

 Decentralized bottom-up, side-to-side, & top-down decision making process.

### Dependent Variables

- Clear understanding
   of the organizational
   management structure.
- Knowledge of who has what level of authority and responsibility at each management tier.
- Open communication
- Trust and respect

# MATRIX COLLABORATION SYSTEM

### Working Definition

 Decentralized bottom-up, side-to-side, & top-down collaboration process.

### Dependent Variables

- Clear understanding
   of the organization's
   commitment to internal &
   external collaboration.
- Knowledge of who has what level of authority and responsibility for collaboration.
- Open communication
- Trust and respect



# CAET TEAM MEMBERS

- Henry Bahn CSREES
- P.S. Benepal CSREES
- Margaret Bogle ARS
- Shanthy Bowman ARS
- Carolyn Brooks -UMD-ES
- Samuel Donald ARD
- Alan Dowdy APHIS
- Sharon Drumm ARS
- A. J. Dye CSREES
- James Heird CSU
- Patricia Jensen NDSU
- Linda Kelly FSIS
- Dennis Kopp CSREES

- Sheryl Kunickis NRCS
- Sara Mazie REE
- McKinley Mayes CSREES
- Marva Nesbit Facilitator
- Eldon Ortman CSREES
- Cheryl Oros CSREES
- Kathy Ott NASS
- Ralph Otto CSREES
- Hank Parker ARS
- Bobby R. Phills- ARS/CSREES
- David Rust ARS
- Gladys Shelton NC A&T SU
- Debra Tropp AMS
- Gladys G. Vaughn OCR

# CAET TEAM IN ACTION





# STATEMENT OF VALUES

**FROM THE** 

# COLLABORATION ASSESSMENT AND ENHANCEMENT TEAM

• We Value:

1. Developing and enhancing collaboration between ARS and CSREES in order to strengthen the quality of research, education, and extension.

• We Value:

2. The creativity, initiative, and dedication of key individuals to make collaborative endeavors a success.

• We Value:

3. The power that results from drawing upon diverse experiences, ideas, and cultures.

• We Value:

4. Integrity and equity in program delivery.

• We Value:

5. Portraying accomplishments and programs in a balanced and accurate format.

• We Value:

6. The timely development and delivery of information and technology that supports customer and stakeholder needs.

• We Value:

7. Relevance and efficiency in resource utilization.

• We Value:

8. Open and inclusive communication.

• We Value:

9. Requiring accountability for individual and institutional collaboration.

• We Value:

10. Recognizing and rewarding individuals for developing and contributing to interagency collaboration.

## **CAET Sub-Committees**

Joint Planning and Program
 Development

Human Capital Development

Collaboration

Accountability

## RECOMMENDATIONS

**FROM THE** 

SUBCOMMITTEE

ON

# JOINT PLANNING AND PROGRAM DEVELOPMENT

Patricia Jensen, Chair

# JOINT PLANNING AND PROGRAM DEVELOPMENT

#### • RECOMMENDED ACTION ITEM # 1.

ARS/CSREES commit to a co-funded IPA position on a continuing basis for the purpose of exploring opportunities for ARS and CSREES direct collaboration, and for implementing and following through on the ideas and initiatives proposed in these CAET recommendations.

# JOINT PLANNING AND PROGRAM DEVELOPMENT

#### • RECOMMENDED ACTION ITEM # 2.

Develop a unified CSREES/ARS approach to the stakeholder community for the purpose of formulating "very specific issue based" initiatives where the two agencies could join their unique scientific and technical expertise to address and solve critical problem issues.

# JOINT PLANNING AND PROGRAM DEVELOPMENT

#### RECOMMENDED ACTION ITEM # 3.

Take one or two current/potential "issue based" initiatives (to be identified with the stakeholder group) to jointly plan, budget, and implement.

These initiatives would be developed and submitted up through the normal budgetary channels as a single unified initiative for joint collaborative implementation.

#### RECOMMENDATIONS

**FROM THE** 

SUBCOMMITTEE

ON

## HUMAN CAPITAL DEVELOPMENT

**Gladys Shelton, Chair** 

#### RECOMMENDED ACTION ITEM # 1.

Establish an Interagency Assessment Committee to identify barriers and propose opportunities to share human capital resources across agencies and institutions.

- RECOMMENDED ACTION ITEM # 2.
- A. Investigate the potential of creating and maintaining a database of expertise in both agencies and universities along disciplinary lines.
- B. Enhance ARS and CSREES websites to include information on the land-grant system and crosslink to all relevant websites.

#### • RECOMMENDED ACTION ITEM # 3.

Review recruitment and employment programs and materials of both CSREES and ARS with the intent to better describe the nature of the position.

• RECOMMENDED ACTION ITEM # 4.

Using current IPA policies and guidelines:

A. Establish a continuing IPA position to serve as a Collaborative Liaison between the two agencies in expanding and utilizing human capital expertise as well as other collaborative opportunities.

• RECOMMENDED ACTION ITEM # 4 Cont.

Using current IPA policies and guidelines:

B. Establish positions for use in promoting bidirectional annual faculty/staff/agency IPA exchanges.

• RECOMMENDED ACTION ITEM # 4 Cont.

Using current IPA policies and guidelines:

C. Study the feasibility of promoting short-term faculty/staff/agency exchanges for addressing imminent and prominent issues and needs.

## RECOMMENDATIONS

**FROM THE** 

SUBCOMMITTEE

ON

**COLLABORATION** 

**Sheryl Kunickis, Chair** 

#### COLLABORATION

#### • RECOMMENDED ACTION ITEM # 1.

ARS and CSREES Administrators develop and publish joint statements of their Agency's commitment to collaboration as a means of facilitating enhanced understanding, collaboration, and cooperation.

#### COLLABORATION

#### RECOMMENDED ACTION ITEM # 2.

Form a joint agency study group to:

- a) review and identify policies and procedures that may impede or serve as potential barriers to enhanced collaboration.
- b) identify approaches to minimize barriers.

## RECOMMENDATIONS

**FROM THE** 

SUBCOMMITTEE

ON

**ACCOUNTABILITY** 

James Heird, Chair

• RECOMMENDED ACTION ITEM # 1.

Determine the amount of collaboration that presently exists between ARS and CSREES.

• RECOMMENDED ACTION ITEM # 2.

Using the data from recommendation # 1, benchmark at regular intervals to determine progress toward greater collaboration.

• RECOMMENDED ACTION ITEM # 3.

Collaboration should be a part of annual reports of: ARS/CSREES NPLs, ARS Area Offices and Centers, State Agricultural Experiment Stations, and State Cooperative Extension Programs.

• RECOMMENDED ACTION ITEM # 4.

ARS and CSREES leadership should ensure that collaboration between the two agencies be a consideration in the overall evaluation of ARS and CSREES personnel and programs.

# CAET TEAM IN ACTION



# COLLABORATION NEEDS YOU!



# "Engage In It. Grow With It."

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